

REQUEST FOR RECORDS DISPOSITION AUTHORITY		JOB NUMBER <i>NI-587-12-3</i>	
To NATIONAL ARCHIVES & RECORDS ADMINISTRATION 8601 ADELPHI ROAD COLLEGE PARK, MD 20740-6001		Date received <i>12/6/11</i>	
1 FROM (Agency or establishment) Consumer Financial Protection Bureau		NOTIFICATION TO AGENCY In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
2 MAJOR SUBDIVISION Office of the Ombudsman			
3 MINOR SUBDIVISION			
4. NAME OF PERSON WITH WHOM TO CONFER Wendy E Kamenshine	5 TELEPHONE NUMBER 202-435-7699	DATE <i>14 Nov 12</i>	ARCHIVIST OF THE UNITED STATES <i>[Signature]</i>
6 AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>3</u> page(s) are not needed now for the business for this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested			
DATE <i>12/6/2011</i>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Steven L Coney</i>		TITLE Records Officer
7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	Media Neutral Records Schedule for the records of the Office of the Ombudsman (see attached) CFPB Approvals Office of the Ombudsman <i>Coney</i> <i>12/5/2011</i> _____ (Date) Office of General Counsel <i>Coney</i> <i>12/1/2011</i> _____ (Date)		

Attachment to SF 115

Consumer Financial Protection Bureau (CFPB), RG 587

Office of the CFPB Ombudsman

Records created and received by this office relate to the mission-critical functions and the internal administration of the Consumer Financial Protection Bureau (CFPB) Ombudsman's Office required for compliance with the governing principles of the Dodd-Frank Act

- 1) Consumers are protected from unfair, deceptive, or abusive acts and practices and from discrimination,
- 2) Federal consumer financial law is enforced consistently without regard to the status of a person as a depository institution, and
- 3) Markets for consumer financial products and services operate transparently and efficiently to facilitate access and innovation

The official records of the Office of the Ombudsman may be created, received, and stored in several formats, including paper records, scanned images, PDF files, data files, data sets, digital photographs and audio recordings, web-based records (such as SharePoint portals, web pages, wikis, blogs, tweets, etc), and electronic mail and word processing formats

Record types include, but are not limited to work papers, final reports and studies, official correspondence and subject files, policies and procedures, education products, staffing and communication files, office administration records (such as budget, supervisor's copy of personnel information, staff training and travel information, routine procurement files, etc), and information obtained from federal and non-federal sources in support of the function of the office Permanent electronic records will be transferred to the National Archives and Records Administration (NARA) in accordance with 36 CFR 1235.44 – 1235.50

The CFPB Office of the Ombudsman is an independent office that reports to the CFPB Deputy Director with access to the Director and adheres to the ombudsman principles of independence, impartiality, and confidentiality The CFPB Ombudsman's statutory mission is to "act as a liaison between the Bureau and any affected person with respect to any problem that such party may have in dealing with the Bureau, resulting from the regulatory activities of the Bureau " Dodd-Frank, § 1013(a)(5)

Item 1 Ombudsman Official Correspondence

Non-inquiry specific correspondence, documenting communications with such entities as the United States Ombudsman Association

Disposition TEMPORARY Cut off files at the end of each calendar year in which activity has been completed Destroy/delete 3 years after cutoff

Item 2 Ombudsman Calendars

Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls

Disposition TEMPORARY Cut off files when activity has been completed Destroy/delete 90 days after cutoff or when no longer needed, whichever is later

Item 3 Speeches and Presentations

Official copies of briefing materials, speeches, testimonies, accepted invitations, presentations and other records documenting the mission-critical work of the Ombudsman and their designee(s)

Disposition TEMPORARY Cut off files at the end of each calendar year in which activity has been completed Destroy/delete 3 years after cutoff

5/21/2012 change from 12/6/2011 SF115 submission to NARA – changed from permanent to temporary
--

Item 4 Inquiries and Resolutions

Records include inquiries from the public, reviews and analysis, correspondence, status updates, resolutions, and responses

Disposition TEMPORARY Cut off files when activity has been completed Destroy/delete 90 days after cutoff

Item 5 Inquiries – No Action

Records created and received in the course of CFPB business that did not result in any analysis by the CFPB Office of the Ombudsman

Disposition TEMPORARY Cut off files when no action was taken Destroy/delete 90 days after cutoff

Item 6 Statistical Tracking Records

Records created to track the number and subject matter of inquiries

Disposition TEMPORARY Cut off at the end of each calendar year Destroy/delete 3 years after cutoff

Item 7 Ombudsman Reports

Periodic and annual reports to internal and external officials, and to Congress

Disposition PERMANENT Cut off files at the end of each calendar year in which the report was issued Transfer to the National Archives 5 years after cutoff

Item 8 Congressional Correspondence

Correspondence from and with members of Congress, consisting of congressional program management questions and comments, and requests for testimony

Disposition TEMPORARY Cut off files at the end of each calendar year in which activity has been completed Destroy/delete 3 years after cutoff

Item 9 Program Policies and Procedures

Final copy of program policies and procedures developed and finalized in the Office of the Ombudsman

Disposition PERMANENT Cut off files at the end of each calendar year in which document has been finalized and issued Transfer to the National Archives 5 years after cutoff

Item 10 Program Management Records

Staffing decisions, periodic workload reports, progress plans, and other records documenting the management and administration of the program

Disposition TEMPORARY Cut off files at the end of each calendar year in which activity has been completed Destroy/delete 5 years after cutoff

Item 11 Non-inquiry Work Papers

Drafts of reports, research and analysis records, correspondence, policies, procedures, speeches, testimonies, and related records from and external to the Office of the Ombudsman circulated for substantive internal edits These records do not pertain to inquiries and resolutions

Disposition TEMPORARY Cut off at the end of the calendar year in which the final records have been created Destroy/delete 2 years after cutoff or when no longer needed, whichever is later

Item 12 Non-inquiry Drafts and Notes

Drafts of records and notes created by staff in the course of the development of work papers The difference between the drafts/notes and work papers is that the drafts/notes are not circulated for internal review and edits These records do not pertain to inquiries and resolutions

Disposition TEMPORARY Destroy/delete when no longer needed to support the information contained in the circulated work papers